



FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE  
(Rev. 2-32) PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.  
17171-CIP-4

SERIAL NO.

INFORMATION DISCLOSURE  
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APPLICANT  
Elliot S. Klein et al.

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### U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE, IF APPROPRIATE
<i>[Handwritten initials]</i>	4 0 9 6 3 4 1	06/20/78	Frazer			
	4 6 9 5 6 4 9	09/22/87	Magami et al			
	4 7 3 9 0 9 8	04/19/88	Chandraratna			
	4 7 4 0 5 1 9	04/26/88	B. Shroot, et al.			
	4 8 1 0 8 0 4	03/07/89	Chandraratna			
	4 8 2 6 9 6 9	05/02/89	Maignan et al.			
	4 8 5 5 3 2 0	08/08/89	Chatterjee et al.			
	4 8 9 5 8 6 8	01/23/90	Chandraratna			03/29/88
	4 9 8 0 3 6 9	12/25/90	Chandraratna			09/19/89
	4 9 9 2 4 6 8	02/12/91	Chandraratna			07/26/89
	5 0 0 6 5 5 0	04/09/91	Chandraratna			12/29/89

### FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
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<i>[Handwritten initials]</i>	0 1 3 0 7 9 5	01/19/85	European	C07D	311/58	xxx	
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	0 2 8 4 2 8 8	09/28/88	European	C07D	401/04	xxx	
	0 3 5 0 8 4 6	07/10/89	European	C07D	311/85		xx

### OTHER DOCUMENTS (Including author, Title, Date, Pertinent Pages, Etc.)

<i>[Handwritten initials]</i>	1	A General Synthesis of Terminal and Internal Arylalkynes by the Palladium-Catalyzed Reaction of Alkynylzinc Reagents with Aryl Halides by Anthony O. King and Ei-ichi,
	2	J. Org. Chem., (1978) 43/2: p. 358.
	3	Conversion of Methyl Ketones into Terminal Acetylenes and (E)-Tri-substituted Olefins of Terpenoid Origin by Ei-ichi, et al., J. Org. Chem., (1980) 45/12: p.2526.
	4	Sporn et al. in J. Amer. Acad. Derm., (1986) 15:756-764

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	5 0 1 3 7 4 4	05/07/91	Chandraratna	—	—	12/29/89
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	4 7 2 3 0 2 8	02/02/88	Shudo	—	—	—
	4 3 2 6 0 5 5	04/20/82	Loeliger	—	—	—
	5 1 3 0 3 3 5	07/14/92	Chandraratna	—	—	07/27/90
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EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
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MA	0 2 7 2 9 2 1	06/29/88	European	C07D	213/80	xxx	
	91 / 1 6 0 5 1	10/31/91	International	A61K	31/44	xxx	
	85 / 0 0 8 0 6	02/28/85	International	A61K	31/00	xxx	
	85 / 0 4 6 5 2	10/24/85	International	A61K	31/19	xxx	
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## OTHER DOCUMENTS (Including author, Title, Date, Pertinent Pages, Etc.)

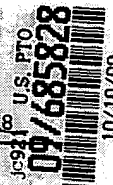
MA	5	"A Convenient Synthesis of Ethynylarenes and Diethynylarenes" by S. Takahashi et al. Synthesis (1980) p.627-630.
	6	Shudo et al. in Chem. Phar. Bull., (1985) 33:404-407.
	7	Kagechika et al. in J. Med. Chem., (1988) 31:2182-2192.
	8	Chemistry and Biology of Synthetic Retinoids by Marcia I. Dawson and William H. Okamura, published by CRC Press Inc., 1990, p.334-335, 354.
	9	Synthesis of 2,2'-Diacyl-1,1'-Biaryls. Regiocontrolled Protection of... by Mervic, et al, J. Org. Chem., (1980) No. 45, p.4720-4725.

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	4 3 9 1 7 3 1	07/05/83	Boller et al.	252	299.26	
	5 0 3 7 8 2 5	08/06/91	Klaus et al.	514	233.8	
	5 1 6 2 5 4 6	11/10/92	Chandraratna	549	23	
	5 1 7 5 1 8 5	12/29/92	Chandraratna	514	445	
	5 1 8 3 8 2 7	02/02/93	Chandraratna	514	444	
	5 2 0 2 4 7 1	04/13/93	Chandraratna	562	473	
	5 2 3 1 1 1 3	07/27/93	Chandraratna	514	510	
	5 2 3 4 9 2 6	08/10/93	Chandraratna	514	253	
	5 2 6 4 4 5 6	11/23/93	Chandraratna	514	461	
	5 2 6 4 5 7 8	11/23/93	Chandraratna	546	269	
	5 2 4 8 7 7 7	09/28/93	Chandraratna	546	165	

FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
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0 1 7 6 0 3 2	04/02/86	European	C07C	65/38	xx
0 1 7 6 0 3 3	04/02/86	European	C07D	261/18	xx
0 2 5 3 3 0 2	01/20/88	European	C07D	213/16	xx
0 3 0 3 9 1 5	02/22/89	European	A61K	31/255	xx
0 3 1 5 0 7 1	05/19/89	European	C07C	63/66	xx

OTHER DOCUMENTS (Including author, Title, Date, Pertinent Pages, Etc.)

10	A Dopamine Receptor Model and Its Application in the Design of a New Class of Rigid Pyrrolo[2,3-g]isoquinoline Antipsychotics, Gary L. Olson et al. American Chemical Society, (1981) 24/9:1026-1031.
11	
12	6.2.3 Conformational Restriction, Williams, et al., Drug Discovery and Development, The Humana Press, (1987) pp. 54-55.
13	V. RETINOID STRUCTURE-BIOLOGICAL ACTIVITY RELATIONSHIPS, Chemistry and Biology of Synthetic Retinoids, (1990) pgs. 324-356.
14	Davis et al. J. Organometallic Chem (1990) 387:381-390.

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WMA	5 2 7 2 1 5 6	12/21/93	Chandraratna	514	314	
	4 9 2 7 9 4 7	05/22/90	Chandraratna	549	484	01/30/89
	5 2 7 8 3 1 8	01/11/94	Chandraratna	549	23	10/21/92
	5 3 2 4 7 4 4	06/28/94	Chandraratna	514	456	07/22/92
	5 3 2 4 8 4 0	06/28/94	Chandraratna	546	318	06/11/92
	5 3 2 6 8 9 8	07/05/94	Chandraratna	560	17	02/11/92
	4 8 2 6 9 8 4	05/02/89	Berlin et al.	546	134	
	5 3 4 4 9 5 9	09/06/94	Chandraratna	560	100	05/18/93
	5 3 4 6 8 9 5	09/13/94	Chandraratna	514	247	01/06/93
	5 3 4 6 9 1 5	09/13/94	Chandraratna	514	432	01/06/93
	5 3 4 8 9 7 2	09/20/94	Chandraratna	514	432	03/08/93

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	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
WMA	2 1 9 0 3 7 8	11/18/87	United Kingdom	C07C	39/21	xxx	
	3 3 1 6 9 3 2	11/17/83	Germany	C07C	63/66		xx
	3 5 2 4 1 9 9	01/16/86	Germany	C07C	63/66		xx
	3 7 1 5 9 5 5	11/26/87	Germany	C07C	15/58		xx
	92 / 0 6 9 4 8	04/30/92	International	C07C	69/86		

OTHER DOCUMENTS (Including author, Title, Date, Pertinent Pages, Etc.)

WMA	15	"Effects of 13-Cis-Retinoic Acid, All Trans-Retinoic Acid, and Acitretin on the Proliferation, Lipid Synthesis and Keratin Expression of Cultured Human Sebocytes in Vitro" C.C. Zouboulis, <u>The Journal of Investigative Dermatology</u> , (1991) 96/5:792-797.
	16	"Organ Maintenance of Human Sebaceous Glands: in Vitro Effects of 13-Cis Retinoic Acid and Testosterone", John Ridden, et al., <u>Journal of Cell Science</u> (1990) 95:125-136.
	18	"Characterization of Human Sebaceous Cells in Vitro", Thomas I. Doran, et al. <u>The Journal of Investigative Dermatology</u> , (1991) 96/3:.

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MA	5 3 4 8 9 7 5	09/20/94	Chandraratna	514	456	10/27/93
	5 3 4 9 1 0 5	09/20/94	Chandraratna	564	163	03/17/93
	5 3 5 4 7 5 2	10/11/94	Chandraratna	514	252	10/28/93
	5 3 8 0 8 7 7	01/10/95	Chandraratna	549	60	03/08/93
	5 3 9 1 7 5 3	02/21/95	Chandraratna	546	323	09/27/93
	5 3 9 9 5 6 1	03/21/95	Chandraratna	514	252	01/07/94
	5 3 9 9 5 8 6	03/21/95	Davies et al.	514	448	03/11/93
	5 4 0 7 9 3 7	04/18/95	Chandraratna	514	256	10/27/93
	5 4 1 4 0 0 7	05/09/95	Chandraratna	514	365	09/24/93
	5 4 2 6 1 1 8	06/20/95	Chandraratna	514	337	12/30/93
	5 4 3 4 1 7 3	07/18/95	Chandraratna	514	354	09/24/93

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
MA	1 7 0 1 0 5 A	4/5/86	European				
	3 6 0 2 4 7 3	07/30/87	Germany	C07C	43/215		xx
	0 6 6 1 2 5 9	05/07/95	European	C07C	233/81	xxx	
	93 / 2 1 1 4 6	10/28/93	International	C07C	69/76		
	0 2 8 4 2 6 1	09/28/88	European	C07D	213/80	xxx	

OTHER DOCUMENTS (Including author, Title, Date, Pertinent Pages, Etc.)

MA	1	"Synthesis and Evaluation of Stilbene and Dihydrostilbene Derivatives as Potential Anticancer Agents That Inhibit Tubulin Polymerization" by Cushman, Mark et al.
	1	J. Med. Chem., (1991), 34:2579-2588.
	2	"Synthesis and Evaluation of New Protein Tyrosine Kinase Inhibitors. Part 1. Pyridine-Containing Stilbenes and Amides" by Cushman, Mark et al. Bioorganic & Medicinal Chemistry Letters, (1991) 1/4:211-214.

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<i>MB</i>	5 4 5 1 6 0 5	09/19/95	Chandraratna et al.	514	475	12/30/93
	5 4 5 5 2 6 5	10/03/95	Chandraratna	514	448	02/11/93
	5 4 6 8 8 7 9	11/21/95	Chandraratna	549	23	09/24/93
	5 4 7 0 9 9 9	11/28/95	Chandraratna	560	100	12/30/93
	5 4 7 5 0 2 2	12/12/95	Chandraratna	514	448	10/18/93
	5 4 7 5 1 1 3	12/12/95	Chandraratna	548	203	06/15/94
	5 4 8 9 5 8 4	02/06/96	Vuligonda et al.	514	188	12/29/94
	5 4 9 8 7 5 5	03/12/96	Chandraratna et al.	564	272	08/23/94
	5 4 9 8 7 9 5	03/12/96	Song et al.	562	474	12/29/94
	5 5 1 4 8 2 5	05/07/96	Vuligonda et al.	558	462	12/29/94
	5 5 1 6 9 0 4	05/14/96	Chandraratna	514	269	02/07/95

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						YES	NO
<i>MB</i>	0 3 0 3 1 8 6	02/15/89	European	C07F	—		xx
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	0 6 6 1 2 5 8	07/05/95	European	C07D	65/19		xx
	0 6 6 1 2 6 1	07/05/95	European	C07C	235/84	xxx	

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<i>MB</i>	2	"Di- and Tri-methoxystyryl Derivatives of Heterocyclic Nitrogen Compounds" by Bahner, C. T. et al. <u>Arzneim-Forsch/Drug Res.</u> (1981)31 (I), Nr. 3.
	23	"Retinobenzoic acids. 3. Structure-Activity Relationships of Retinoidal Azobenzene-4-Carboxylic Acids and Stilbene-4-Carboxylic Acids" by H. Kagechika et al., <u>Journal of Medicinal Chemistry</u> , (1989), 32:1098-1108.
	24	Eyrolles, L. et al. "Retinoid Antagonists: Molecular Design Based on the Ligand Superfamily Concept" <u>Med. Chem. Res.</u> (1992) 2:361-367.

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MA	5 5 3 4 5 1 6	07/09/96	Chandraratna	514	253	02/07/95
	5 5 3 4 6 4 1	07/09/96	Song et al.	549	416	12/29/94
	5 5 4 3 5 3 4	08/06/96	Vuligonda et al.	549	421	12/29/94
	5 5 5 6 9 9 6	09/17/96	Beard et al.	549	407	12/29/94
	5 5 9 1 8 5 8	01/07/97	Vuligonda et al.	546	322	02/27/96
	5 5 2 3 4 5 7	06/04/96	Starrett, Jr. et al.	560	24	06/02/95
	5 5 5 9 2 4 8	09/24/96	Starrett, Jr. et al.	549	79	04/05/95
	5 5 9 9 8 1 9	02/04/97	Chandraratna	514	314	06/02/95
	5 5 9 9 9 6 7	02/04/97	Vuligonda et al.	560	48	12/29/94
	5 6 0 2 1 3 0	02/11/97	Chandraratna	514	247	10/14/94
	5 6 0 2 1 3 5	02/11/97	Chandraratna	514	252	06/02/95

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MA	0 6 1 7 0 2 0	28/09/94	Europe	C07D	213/82	xxx	
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	0 2 8 6 3 6 4	12/10/88	Europe	C07C	103/78	xxx	
	0 7 1 8 2 8 5	26/08/96	Europe	C07C	403/20	xxx	
	93 / 1 1 7 5 5	24/06/93	International	A61K	31/07		
	95 / 0 4 0 3 6	09/02/95	International	C07C	403/20		

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MA	2	Liu, S. S. et al. "Systemic Pharmacokinetics of Acetylenic Retinoids in Rats", <u>Drug Metabolism and Disposition</u> , (1990) 18/6: 1071-1077.
	21	CHEMICAL ABSTRACTS, vol. 122, no. 13, 27 March 1995 abstract no. 151372m, (S. KAKU et al.)
	28	CHEMICAL ABSTRACTS, vol. 117, no. 13, 28 September 1992 abstract no. 124091J, (S. SUN et al.)
	29	EUROPEAN JOURNAL OF BIOCHEMISTRY, vol. 212, no. 1, 1993, BERLIN, pages 13-26, XP000618300 (S. KEIDEL et al.)
	30	JOURNAL OF MEDICINAL CHEMISTRY, vol. 39, no. 16, 2 August 1996, pages 3035-3038, MIN TENG ET AL.
	31	JOURNAL OF MEDICINAL CHEMISTRY, vol. 37, no. 10, 13 May 1994, pages 1508-1517, LAURENCE EYROLLES. Gordon et al.

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	5 6 1 6 5 9 7	04/01/97	Chandraratna	514	365	06/02/95
	5 6 1 6 7 1 2	04/01/97	Teng et al.	546	158	05/16/95
	5 6 1 8 8 3 6	04/08/97	Chandraratna et al.	514	444	04/10/95
	5 6 1 8 9 3 1	04/08/97	Beard et al.	544	224	12/29/97
	5 6 1 8 9 4 3	04/08/97	Vuligonda et al.	546	342	12/29/94
	5 4 2 0 1 4 5	05/30/95	Shudo	514	352	03/23/93
	5 3 5 4 7 7 6	10/11/94	Chandraratna	514	461	06/29/93
	4 5 3 9 1 5 4	09/03/85	Krebs	260	410	06/15/83
	5 4 6 6 8 6 1	11/14/95	Dawson et al.	560	100	11/25/92
	5 5 6 3 2 9 2	10/08/96	Shch et al.	560	255	

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MA	96 / 0 5 1 6 5	22/02/96	International	C07C	57/50	xxx	
	93 / 0 3 7 1 3	04/03/93	International	A61K	31/07		
	0 5 1 4 2 6 9	19/11/92	Europe	C07C	257/08		xx
	0 4 7 8 7 8 7	03/10/91	Europe	C07C	233/65	xxx	
	94 / 1 4 7 7 7	07/07/94	International	C07D	231/54		

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MA	33	BIOCHEMICAL AND BIOPHYSICAL RESEARCH COMMUNICATIONS, vol. 155 no. 1, 1988, pages 503-508.
	32	CHEMICAL ABSTRACTS. vol. 121, no.9, 1994.
	33	DATABASE WPI, Section CH, Week 9416, Derwent Publications Ltd. London, GB; Class B05, AN 94-128759 and JP 6078266A, see English language abstract in
	34	DERWENT.
	35	JOURNAL OF MEDICINAL CHEMISTRY, vol. 38, no. 16, 4 August, 1995, pages 3163- 73.
	36	Weiner, et al., "A phase I trial of topically applied trans -retinoic acid in cervical dysplasia-clinical efficacy", Investigational New Drugs, 4:241-244, 1986

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EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5 6 7 5 0 2 4	10/7/97	Teng et al.	549	405	11/22/95
	5 6 7 5 0 3 3	10/7/97	Vuligonda et al.	560	100	06/06/95
	4 4 8 5 2 5 2	11/27/84	Fuchs et al.	560	8	
	4 8 3 3 2 4 0	05/23/89	Maignan et al.	536	55.2	
	5 6 7 7 3 2 0	10/14/97	Chandraratna	514	365	01/09/97
	5 6 7 7 3 2 3	10/14/97	Chandraratna	514	374	10/29/96
	5 6 7 7 4 5 1	10/14/97	Chandraratna	544	238	06/06/95
	5 6 8 8 9 5 7	11/18/97	Teng et al.	546	280.1	12/29/95
	5 6 9 6 1 6 2	12/09/97	Chandraratna	514	532	06/02/95
	5 6 9 8 7 0 0	12/16/97	Song et al.	546	282.1	05/31/96
	5 7 1 7 0 9 4	02/10/98	Chandraratna	544	238	07/15/91

### FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER							DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
													YES	NO

### OTHER DOCUMENTS (Including author, Title, Date, Pertinent Pages, Etc.)

ms	3	Gruapner, et al., "6-Substituted Naphthalene-2-Carboxylic Acid Analogs, A New Class of Retinoic Acid Receptor Subtype-Specific Ligands," <u>Biochemical and Biophysical Communications</u> , Vol. 179, No. 3 (Sept. 30, 1991), pp. 1554-1561.
	4	
	5	Moore, et al., "Retinoic Acid and Interferon in Human Cancer: Mechanistic and Clinical Studies," <u>Seminars in Hematology</u> , 31/4, Suppl 5 (Oct. 1994), pp.31-37.
	6	Chen et al., A transcriptional co-repressor that interacts with nuclear hormone receptors. <u>Nature</u> 377; pp 454-457
ms	7	Giguere et al; Letters to Nature, ARTICLES, Vol. 330, 12/17/1987; pp. 624-629; Identification of a receptor for the morphogen retinoic acid
	8	

EXAMINER

DATE CONSIDERED

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[illegible][illegible]

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
gg	
mf	Klein, et al., The Journal of Biological Chemistry, September, 1996, pp. 22692-22696; Identification and Functional Separation of Retinoic Acid Receptor Neutral Antagonists and Inverse Agonists.
sf	Jackson, et al., Mol. Endocrinol. 11:693 (1997)
fs	Smith, et al., Mol. Endocrinol. 11:557 (1997)
sf	Yoshimura, et al., J. Med. Chem. 38: 3163-3173 (1995).
sf	Kaneko, et al. Med. Chem. Res. 1:220-225 (1991)

EXAMINER <i>[Signature]</i>	DATE CONSIDERED <i>[Signature]</i>
<p>*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.</p>	

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  INFORMATION DISCLOSURE STATEMENT BY APPLICANT  (USE SEVERAL SHEETS IF NECESSARY)  SYNTHESIS AND USE OF RETINOID COMPOUNDS HAVING NEGATIVE HORMONE AND/OR ANTAGONIST ACTIVITIES	ATTY. DOCKET NO. 17171-CIP4	SERIAL NO. 09/042,943  09/685,828
	APPLICANT Elliott S. Klein, et al.	
	FILING DATE 03/17/98	GROUP Not Yet Assigned

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)	

FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
MA	Apfel, et al. Proc. Natl. Acad. Sci. USA 89: 7129-7133, August, 1992 Cell Biology
MA	Eckhardt, et al. Toxicology Letters 70: 299-308 (1994)
MA	Keldel, et al., Molecular and Cellular Biology 14: 287-298 (1994)
MA	Nagpal, et al. (1993) EMBO J. 12:2349-2360
MA	Allan et al: The Journal of Biological Chemistry, Vol. 267, No. 27; 9/25/1992; pp. 19513-19520, Hormone and Antihormone Induced Distinct Conformational Changes which are Central to Steroid Receptor Activation
EXAMINER	DATE CONSIDERED
MA	7/18/02

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